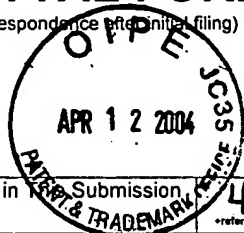


# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)



Application Number **10/724,946**

Filing Date **12/01/2003**

First Named Inventor **Lue et al.**

Group Art Unit **1713**

Examiner Name **Unassigned**

Total Number of Pages in Submission **4**

Attorney Docket Number **2003U039.US**

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Preliminary Amendment / Response
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Form-1449
- ☒ Information Disclosure Statement
  - ☒ 1449 Form
  - ☒ Copies of Cited References
- ☐ Certified Copy of Priority Documents)
- ☐ Response to Missing Part/Incomplete Application
  - ☐ Response to Missing Parts

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ To Convert a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer Two (2)
- ☐ Notice to File Corrected Application Papers
- ☐ Substitute Specification

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below):  
**Postcard**

REMARKS

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
Or  
Individual name

**Kevin M. Faulkner**

Registration No.

**45,427**

Signature

Date

**April 6, 2004**

## CERTIFICATE OF MAILING

I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Non-Fee Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

**April 6, 2004**

Typed or printed name

**Tammy L. Hodges**

Signature

Date

**April 6, 2004**

|   |   |                                |  |
|---|---|--------------------------------|--|
| <b>TRANSMITTAL OF SUPPLEMENTAL<br/>INFORMATION DISCLOSURE STATEMENT<br/>UNDER 37 CFR § 1.97(b), 1.97(c), or 1.97(d)</b> |   |                                | <b>Attny. Docket No.<br/>2003U039.US</b> |
| <b>In Re Application of: Ching-Tai Lue, et al.</b>  |   |                                |  |
| <b>U.S. Serial No.<br/>10/724,946</b>   | <b>Filing Date<br/>December 1, 2003</b> | <b>Examiner<br/>Unassigned</b> | <b>Group Art Unit<br/>1713</b>           |



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Commissioner for Patents  
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**37 CFR § 1.97(b)**

- ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

**37 CFR § 1.97(c)**

- ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of:

1. a Final Action under § 1.113,
2. a Notice of Allowance under § 1.311, or
3. an action that otherwise closes prosecution in the application,

and is accompanied by either:

- ☐ the fee as set forth in § 1.17(p), or
- ☐ the following statement under § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

**37 CFR § 1.97(d)**

- ☐ The Information Disclosure Statement submitted herewith is being filed after a Final Action under § 1.113, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is the fee as set forth in § 1.17(p) and the following statement under 37 CFR § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Applicant hereby request consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith.

☒ Legible copies of the references are enclosed.

☐ This application is a:  
☐ Continuation / Divisional,  
☐ Continuation-in-Part,

of U.S.S.N. \_\_\_\_\_. Copies of the cited references are  
☐ enclosed; ☐ not enclosed. References are available in the parent application(s) if not enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment, to Deposit Account Number 50-0589.

April 6/04  
Date

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# INFORMATION DISCLOSURE STATEMENT

*(Use several sheets if necessary)*

ATTY. DOCKET NO.

**2003U039.US**

SERIAL NO.

**10/724,946**

APPLICANT

**Ching-Tai Lue, et al.**

FILING DATE

**December 1, 2003**

GROUP

**1713**

## U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE       | NAME           | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|----------------------|----|--------------------|------------|----------------|-------|----------|-------------------------------|
|                      | AA | 5,110,685          | 05/05/1992 | Cross et al.   | 428   | 494      |                               |
|                      | AB | 5,338,589          | 08/16/1994 | Böhm et al.    | 428   | 36.9     |                               |
|                      | AC | 5,378,764          | 01/03/1995 | Benham et al.  | 525   | 240      |                               |
|                      | AD | 5,494,965          | 02/27/1996 | Harlin et al.  | 525   | 52       |                               |
|                      | AE | 5,795,941          | 08/18/1998 | Cree et al.    | 525   | 240      |                               |
|                      | AF | 6,441,096          | 08/27/2002 | Bäckman et al. | 525   | 240      |                               |
|                      | AG |                    |            |                |       |          |                               |
|                      | AH |                    |            |                |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | PUBL.<br>DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|--|----|--------------------|---------------|---------|-------|----------|-------------|----|
|  |    |                    |               |         |       |          | YES         | NO |
|  | AI | WO 94/22948        | 10/13/1994    | PCT     |       |          |             |    |
|  | AJ | WO 97/47682        | 12/18/1997    | PCT     |       |          |             |    |

## OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)

|  |    |  |
|--|----|--|
|  | AK |  |
|  | AL |  |
|  | AM |  |

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line though citation if not in conformance and not considered. Include copy of this form with next comment to applicant